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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/749,159	12/27/2000	Thomas John Eggebraaten	ROC920000230US1	4947
24038	7590	05/20/2004	EXAMINER	
MARTIN & ASSOCIATES, LLC P O BOX 548 CARTHAGE, MO 64836-0548			HO, THOMAS M	
			ART UNIT	PAPER NUMBER
			2134	6
DATE MAILED: 05/20/2004				

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

	Application No. 09/749,159	Applicant(s) EGGEBRAATEN ET AL.
	Examiner Thomas M Ho	Art Unit 2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) Responsive to communication(s) filed on 12/27/00.
- 2a) This action is FINAL.                    2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) Claim(s) 1-12 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 1-12 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.
 

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) All    b) Some \* c) None of:
    1. Certified copies of the priority documents have been received.
    2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.	4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____. 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) 6) <input type="checkbox"/> Other: _____.
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## DETAILED ACTION

1. **Claims 1-12 are pending.**

### *Claim Rejections - 35 USC § 102*

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-12 are rejected under 35 U.S.C. 102(b) as being anticipated by “Understanding LDAP” by the International Technical Support Organization.

In reference to claim 1:

“Understanding LDAP” discloses an apparatus comprising:

- At least one processor
- A memory coupled to the at least one processor (Page 5, paragraph 2) Where a processor and memory coupled to at least one processor is understood to be a part of the computer system in both the client and server. (Page 5, Figure 1)
- A directory service server that accesses a directory that has a plurality of entries(understood to be a part of LDAP), the plurality of entries including at least one proxy entry that contains security information for a corresponding protected resource, the directory service server including authentication and authorization functions that

Art Unit: 2134

determine whether a selected one of the plurality of entries may be accessed, where the object has an access control list, and access is determined through this access control list.

(Page 7, Section 1.1.4, Directory Security) & (Page 8, paragraph 1)

- A plurality of protected resources that are not stored within the directory, where the resources may not be stored within the directory because the directory itself can be decentralized or distributed. (Page 6, paragraphs 5-6)
- An application residing in the memory and executed by the at least one processor, the application including a logical mapping that correlates each protected resource with a corresponding proxy entry, the application determining whether the application is authorized to access a selected protected resource by invoking the authentication and authorization functions in the directory service server to determine whether the proxy entry corresponding to the selected resource may be accessed, and if so, the application accesses the selected protected resource, where the logical mappings that correlates with the protected resources are LDAP entries, the application determining whether the application is authorized to access the resource is the software necessary in an LDAP server, and where the information is determined through an ACL. (Page 8, paragraph 1)

In reference to claim 2:

“Understand LDAP” discloses the apparatus of claim 1 wherein the directory service server is a Lightweight Directory Access Protocol (LDAP) server, and wherein the directory is an LDAP directory.

In reference to claim 3:

“Understanding LDAP” (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1) discloses the apparatus of claim 1 wherein the application does not access the selected protected resource if the proxy entry corresponding to the selected resource cannot be accessed, where the resource cannot be accessed if the access right for that object in the directory is not granted.

In reference to claim 4:

“Understanding LDAP” (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1) discloses a method for a directory service that contains a proxy entry corresponding to an external protected resource to provide authentication and authorization functions to a software application, where the directory service is LDAP which contains proxy entries corresponding to file resources which correspond to respective ACLs which, with the LDAP server software allow for authentication and authorization functions, the method comprising the steps of:

- When the software application needs to access the external protected resource, performing the steps of:
  - Identifying a proxy entry that corresponds to the external protected resource, where the objects are listed as LDAP entries such as that shown in (Page 18, Figure 5)
  - The software application requesting from the directory service access to the proxy entry that corresponds to the external protected resource, where the application is the client software necessary to allow the user to browse LDAP directories such as that listed on (Page 18, Figure 5)

- o If the directory service grants access to the proxy entry that corresponds to the external protected resource, the application accesses the external protected resource, where the entries requested are then accessed if permission is granted.

(Page 4, Section 1.1.2 “Directory Clients and Servers”)

In reference to claim 5:

“Understanding LDAP” (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1)

discloses the method of claim 4 further comprising the steps of:

If the directory service denies access to the proxy entry that corresponds to the external protected resource, the application does not access the protected resource, where the resource cannot be accessed if the access right for that object in the directory is not granted.

In reference to claim 6:

“Understanding LDAP” (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1)

discloses a method for a directory service to provide authentication and authorization functions to a software application, the method comprising steps of:

- Determining which of a plurality of resources require protection, where determining which of a plurality of resources requires protection is determined by attaching an ACL to each object. An object without an ACL for example, could be assumed to be accessible to anyone.

- Creating a proxy entry in the directory service for each protected resource, where the proxy entry is a representation on the interface of the client software, of a resource on the server or a distributed system accessible by the server. (Page 18, Figure 5)
- Generating a logical mapping that correlates each protected resource to its corresponding proxy entry, where a mapping is logically generated on the client interface in which the resource is not on the client system itself, but another system. (Page 18, Figure 5)
- When the software application needs to access a selected protected resource, performing the steps of:
  - Using the logical mapping to identify a proxy entry that corresponds to the selected protected resource, where the logical mapping is from the directory entries on the client side to the resources on the server. (Page 6-7, Section 1.1.3 “Distributed Directories”)
  - The software application requesting from the directory service access to the identified proxy entry, where the software is both the LDAP client and server.
  - If the directory service grants access to the identified proxy entry, the application accesses the selected protected resource, where the LDAP server must verify the user against the details in the ACL for the resource before granting access. (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1)

In reference to claim 7:

“Understanding LDAP” (Page 7, Section 1.1.4, Directory Security) - (Page 8, paragraph 1)

discloses the method of claim 6 further comprising the step of:

If the directory service denies access to the proxy entry that corresponds to the selected protected resource, the application does not access the selected protected resource, where the resource cannot be accessed if the access right for that object in the directory is not granted

In reference to claim 8:

“Understanding LDAP” (Page 5, Figure 1) & (Page 18, Figure 5) discloses the program product comprising:

- A software application that uses a logical mapping that correlates a plurality of protected resources that are not stored or contained within the directory with corresponding proxy entries in a directory service that is managed by a directory service server(LDAP server), the application determining whether the application is authorized to access a selected protected resource by invoking authentication and authorization functions in the directory service server to determinine whether the proxy entry corresponding to the selected resource may be accessed, and if so, the application accesses the selected protected resource,  
where a resource is logically mapped from the proxy in the client side representation of the server side resource, and is only accessed if a user is authenticated and authorized according to the permissions to the resource given in its ACL. (Page 7, Section 1.1.4 Directory Security, paragraph 3) – (Page 8, 1<sup>st</sup> paragraph)
- Computer-readable signal bearing media bearing the software application, where the signal bearing media bearing the software application is contained in the memory of the

client and server, as well the hard drives, and the possible transmission media in the communications between the client and the server.

In reference to claim 9:

“Understanding LDAP” discloses the program product of claim 8 wherein the signal bearing media comprises recordable media, where it is understood that signal bearing media may comprise recordable media such as hard disk drives, CD-R, floppy disks, or other magnetic media, all necessary in bearing the data signals when the data is accessed from the media.

In reference to claim 10:

“Understanding LDAP” discloses the program product of claim 8 wherein the signal bearing media comprises transmission media, where it is understood that in order for data to be transmitted from the client to the server, that some transmission media is needed and used.

In reference to claim 11:

“Understanding LDAP” discloses the program product of claim 8 wherein the directory service server is a Lightweight Directory Access Protocol (LDAP) server, and wherein the directory is an LDAP directory.

In reference to claim 12:

Art Unit: 2134

"Understanding LDAP" discloses the program product of claim 8 wherein the application does not access the selected protected resource if the proxy entry corresponding to the selected resource cannot be accessed.

(Page 7, Section 1.1.4 Directory Security, paragraph 3) – (Page 8, 1<sup>st</sup> paragraph)

### ***Conclusion***

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thomas M Ho whose telephone number is (703)305-8029. The examiner can normally be reached on M-F from 8:30am – 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory A. Morse can be reached at (703)308-4789. The fax phone numbers for the organization where this application or proceeding is assigned are (703)746-7239 for regular communications and (703)746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)306-5484.

TMH

May 14<sup>th</sup> 2004



GREGORY MORSE  
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